

10 Rec'd PCT/US 317 2000

FORM PTO-1390  
REV. 5-93US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICETRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371ATTORNEY'S DOCKET NUMBER  
P99,1696

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

09/381323

INTERNATIONAL APPLICATION NO.  
PCT/EP98/01405INTERNATIONAL FILING DATE  
March 11, 1998PRIORITY DATE CLAIMED  
March 19, 1997

TITLE OF INVENTION METHOD FOR THE PRODUCTION OF A VERTICAL MOS TRANSISTOR

APPLICANT(S) FOR DO/EO/US THOMAS AEUGLE, WOLFGANG RÖSNER, DAG BEHAMMER and LILI VESCAN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3.  This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4.  A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  
5.  A copy of International Application (35 U.S.C. 371(c)(2))
  - a.  is transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  has been transmitted by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US)
6.  A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
  - a.  are transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  have been transmitted by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
  
8.  A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)) (attached at back of English translation of application).
  
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  
10.  A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern other document(s) or information included:

11.  An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).
12.  An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  
**(SEE ATTACHED ENVELOPE)**
13.  A **FIRST** preliminary amendment.  
 A **SECOND** or **SUBSEQUENT** preliminary amendment.
14.  A substitute specification.
15.  A change of power of attorney and/or address letter.
16.  Other items or information:
  - a.  Submission of Drawings
  - b.  Request for Approval of Drawing Changes
  - c.  Letter Under Rule Under 37 C.F.R. §1.41(c)
  - d.  EXPRESS MAIL #EL451654144US

17.  The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) ..... \$760.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$450.00

Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$1,250.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 98.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than  20  30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims	Number Filed	Number Extra	Rate	
Total Claims	5 - 20 =		X \$ 22.00	\$
Independent Claims	1 - 3 =		X \$ 82.00	\$
Multiple Dependent Claims			\$270.00 +	\$
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 840.00</b>
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)				\$
<b>SUBTOTAL =</b>				<b>\$ 840.00</b>
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$
<b>TOTAL NATIONAL FEE =</b>				<b>\$</b>
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				+ SEE ATTACHED ENVELOPE
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 840.00</b>
				Amount to be refunded \$
				charged \$

a.  A check in the amount of \$ 840.00 to cover the above fees is enclosed.  
 b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.  
 c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 08-2290. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Steven H. Noll

SIGNATURE

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Steven H. Noll

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